

Message Text

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TAGS: OVIP, EFIN, EGEN SZ (POLLACK, IRVING M)
SUBJ: COMMISSION POLLACK'S BERN AND AURICH SCHEDULE; QUESTIONS
LIKELY TO BE RAISED AT BROKERS MEETING ON APR 27

REF: STATE 71117; BERN 1143

1. SCHEDULE NOT YET COMPLETE. FINAL SCHEDULE
WILL BE GIVEN TO COMMISSIONER POLLACK ON ARRIVAL.
AS IT NOW STANDS, WE HAVE ARRANGED FOLLOWING APPOINT-
MENTS AND SOCIAL EVENTS:

APR 26

2000 INFORMAL DINNER AT RESIDENCE INCLUDING WIVES. GUESTS
WILL BE AMB JOLLES, DIR, DIV OF COMMERCE, REPS OF ONE OF MAJOR
US BANKS DOING BUSINESS IN SWITZERLAND, AND EMBASSY STAFF.

APR 27

1030 MEETING WITH AMERICAN COMMODITY, STOCK AND SECURITY BROKERS;
31 BROKERS WILL BE PRESENT. MEETING INCLUDES LUNCH AND SHOULD
END AT 1500 HOURS.

1715 MEETING AT SWISS FED BANKING COMMISSION WITH PRESIDENT
OF COMMISSION AND DIRECTOR OF SECRETARIAT; PERHAPS OTHER MEMBERS
OF STAFF AS WELL.

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APR 28

1145 MEETING WITH FEC COUNCILOR KURT FURGLER WHO IS EQUIVALENT
OF OUR ATTORNEY GENERAL.

AFTERNOON DEPART FOR ZURICH

1800 MEETING WITH AMERICAN BANKERS FOLLOWED BY STAG DINNER OFFERED BY BANKERS. ATTENDING WILL BE REPS OF UNION BANK OF SWITZERLAND, SWISS BANK CORP, SWISS CREDIT BANK, PRESIDENT OF SWISS BANKERS ASSN, AND BANK BAER.

2. WE ARE STILL SEEKING APPOINTMENTS AT ZURICH SWISS NATL BANK FOR APR 28 AND IN BERN WITH FED POLITICAL DEPT AND OTHER REPS OF DEPT OF JUSTICE AND POLICE.

3. IN OUR INVITATION TO BROKERS WE ASKED THEM FOR SUGGESTIONS AS TO WHAT ITEMS WE SHOULD DISCUSS. QUESTIONS MOST OFTEN RAISED WERE: PROPOSED CHANGES IN SEC RULE 17A-3 (DISCLOSURE OF BENEFICIAL OWNERSHIP) CHANGES IN RULE 390 OF NEW YORK STOCK EXCHANGE, AND ELIMINATION OF FIXED BROKERAGE RATES. OTHER SUBJECTS WE WILL DISCUSS WILL INCLUDE DISCRIMINATION BY REGULATION AND OTHERWISE AGAINST BROKERAGE FIRMS OPERATING IN SWITZ, POSSIBILITY OF A MEETING BETWEEN US FIRMS PROVIDING INVESTMENT AND OTHER SERVICES, AND SWISS INTERESTED IN INVESTING IN US, AND INVESTMENT CLIMATE IN US.
WARNER

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